

APPENDIX 7. STANDARDIZED EVALUATION CRITERIA FOR DELEGATED FACILITIES

1. PURPOSE. This appendix provides standardized evaluation criteria used in documenting the evaluation of the systems elements listed in figure 1 for delegated facilities.

FIGURE 1. SYSTEM ELEMENTS

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1	Organization and Responsibility	3
2	Project Management	17
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2. DESCRIPTION OF SYSTEM ELEMENTS SECTION FORMAT. Each section of this appendix addresses one of the 10 system elements listed in figure 1. Each section is formatted as follows:

a. System Element Description. This is a brief description of what the system element is intended to accomplish or control.

b. System Element Standardized Evaluation Criteria. Each criteria is formatted as follows:

(1) Standardized Evaluation Criteria. Each criteria is identified by a numbered question within a box. The format of each question number is based on the specific system element section number identified in figure 1, the letter "D" to identify the criteria as specific to delegated facilities, and the sequence within the system element. For example, question 1D8 would be the eighth question [8] under the organization and responsibility system element [1] for a delegated engineering function [D].

(2) Applicability. This identifies the specific type of delegated facility function (DAS, DOA, or SFAR 36) to which the standardized evaluation criteria applies. A table format is used that identifies the type of facility across the top, and a code for the type of applicability in the first column. The codes for the types of applicability are defined as follows:

APPENDIX 7. STANDARDIZED EVALUATION CRITERIA FOR DELEGATED FACILITIES (CONT'D)

(a) **R.** This applicability code is used to identify criteria that have a CFR based origin. The applicability to a specific facility is indicated by the specific CFR part or section reference; e.g., § 21.463.

(b) **P.** This applicability code is used to identify criteria that reflect FAA Aircraft Certification practices to assist in evaluating design data for compliance to applicable CFR. These practices may be contained in the FAA-approved DAS or SFAR 36 Procedures Manual, DOA Handbook, or other non-FAA approved facility procedures. The evaluator must determine the actual level of application at each delegated facility. The applicability to a specific facility is indicated with an "X."

(c) **N.** This applicability code is used to indicate that the criteria is not generally applicable at a specific facility. The evaluator must determine the actual level of application at each facility. The applicability to a specific facility is indicated with an "X".

(3) Statement of Condition. The statement of condition provides specific indicators of criteria that have been satisfactorily implemented. These indicators generally include documented procedures and adherence to those procedures. The procedures indicated in the statement of condition include some of the specific practices and principles that are often associated with the criteria. However, these practices and principles are not the only acceptable indicators of satisfactory implementation. Evaluators may identify additional practices and principles in FAA-approved data or other facility procedures. A practice or principle that reflects CFR requirements is followed by the specific CFR part or section reference in brackets, e.g., {§ 21.463}. The statement of condition assists the evaluator to determine the following:

(a) The depth of the investigation that may be required to satisfactorily evaluate the criteria.

(b) The appropriate criteria on which to document evaluation results.

SECTION 1. ORGANIZATION AND RESPONSIBILITY

1. SYSTEM ELEMENT DESCRIPTION. The evaluation of the facility's organization and responsibilities relative to the facility's delegation.

2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA. The following criteria are used to document the evaluation of this system element.

1D1. Does the evaluated facility have and use a Procedures Manual appropriate to the delegation/authorization that it holds, including description of responsibilities and authorities?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.441		§ 6
P		X	
N			

Statement of Condition

- a. There is objective evidence that the evaluated facility has and uses a procedures manual.

1D2. Are procedures for the delegated functions set forth in a current DOA Handbook, or DAS or SFAR 36 Procedures Manual?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.441		§ 6(b)
P		X	
N			

Statement of Condition

- a. There is objective evidence that a procedures manual has been prepared for DAS and SFAR 36 facilities. Examples of applicable procedures that should be included are as follows:

DAS: Procedures for processing the technical data required for supplemental type certification and for issuing STC's.

1D2. (continued)

- (1) Determination of certification basis.
- (2) Classification of project significance and complexity.
- (3) Method for developing certification plan.
- (4) The identification (names, signatures, and responsibilities) of officials and of each staff member.
- (5) A "Log of Revisions" page that identifies each revised item, page, and date of revision, and contains the signature of the person approving the change for the Administrator.
- (6) Approval of design data (drawings and reports) within the DAS organization.
- (7) Requests for conformity inspection, including test articles and test setups.
- (8) Approval of certification documents, e.g., TIA, TIR, AFMS, STC.
- (9) Conduct of inspections, including conformity and compliance inspections.
- (10) Issuance of special airworthiness (experimental) certificates and reissuance of standard airworthiness certificates.

DOA:

- (1) Type Certification (covering at least §§21.253, 21.257 and 21.261).
- (2) Revision to the Production Certificate (covering at least § 21.267).
- (3) Issuance of Airworthiness Certificates (covering at least §§ 21.269, 21.271 and 21.273).
- (4) Repairs and Alterations (covering at least § 21.289).
- (5) Service Difficulties (covering at least § 21.277).
- (6) Other functions within the scope of the delegation.

SFAR 36:

- (1) Procedures for developing and determining the adequacy of technical data for major repairs.

1D2. (continued)

(2) The identification (names, signatures, and responsibilities) of officials and of each staff member.

(3) A "Log of Revisions" page that identifies each revised item, page, and date of revision, and contains the signature of the person approving the change for the Administrator.

(4) Procedures in establishing the applicability and limitations of approved repairs.

b. There is objective evidence of ACO-approved procedures, when required.

1D3. Is the procedures manual or handbook reviewed periodically by the evaluated facility for adequacy and currency, and updated as necessary?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. The procedures manual provides for periodic review update and approval.

b. There is objective evidence of observance to established procedures.

1D4. Is the DOA, DAS, or SFAR 36 facility operating within its approved delegated authority?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.451	§ 21.251	§ 10
P			
N			

Statement of Condition

a. There is objective evidence that:

1D4. (continued)

(1) The holder of a DOA is applying the delegation to only products that it produces, or has authority to produce.

(2) Approvals granted by the DOA, DAS, or SFAR 36 are within its delegated authority.

(3) An STC containing acoustic and exhaust emissions changes to the type design is issued only after the FAA has determined that the respective CFR part 36 and CFR part 34 requirements have been met.

1D5. Does the evaluated facility limit repair, rebuilding, or altering only to those products for which a production approval has been obtained?

Applicability:

	DAS	DOA	SFAR 36
R		§§ 21.289 & 43.3	
P			
N	X		X

Statement of Condition

a. There is objective evidence that the evaluated facility approves repairs, rebuilding, and alterations only for those products covered by production approval.

1D6. Does the evaluated facility assure that it continues to meet the criteria for holding its authorization?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.439	§ 21.239	§ 5
P			
N			

Statement of Condition

a. There is objective evidence that the evaluated facility is operating within the regulatory criteria.

1D6. (continued)**DAS:**

(1) Holds a current domestic repair station certificate under CFR Part 145, or air carrier or commercial operator operating certificate under CFR Part 121.

(2) Is a manufacturer of a product for which it has alteration authority under CFR part 43.3(j).

(3) Has adequate maintenance facilities and personnel, and

(4) Employs, or has available, an appropriate staff.

DOA:

(1) Holds a current type certificate, issued under the standard procedures, for each product type for which a DOA is held.

(2) Holds a current production certificate issued under standard procedures, and

(3) Employs an appropriate staff.

SFAR 36:

(1) Holds an air carrier, commercial, or air taxi operating certificate, and has operation specifications for operations required to be conducted in accordance with part 121 or 127, or § 135.2, or has a domestic repair station certificate under part 145, and

(2) Has an adequate number of appropriate personnel.

1D7. Does the evaluated facility have a Coordinator as a focal point for communication with the FAA as it relates to the interpretation of regulations, policies, procedures, and maintenance of certification data and certification checklist?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

1D7. (continued)

Statement of Condition

a. There is objective evidence that a Coordinator has been established as a communication focal point with the FAA.

1D8. Does the Coordinator have sufficient authority to administer the pertinent CFR effectively?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. The Coordinator is in an organizational position with sufficient authority to administer the pertinent CFR effectively.

b. The Coordinator is actively involved in engineering processes and airworthiness activities defined by the evaluated facility in order to administer the pertinent CFR effectively.

c. There is objective evidence that the procedure is used.

1D9. Are the organizations responsible for performing delegated engineering and flight test functions described and their levels of authority defined?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. The procedure manual includes as a minimum:

1D9. (continued)

(1) A table of organization that describes the functional relationship of upper management to the various organizational components.

(2) The purpose and objectives of the engineering and flight test organization.

(3) The identification of the functions of staff members within the facility.

(4) The role of staff members in the facility and their responsibilities as representatives of the Administrator, ensuring that no conflicting restraints are placed on the performance of their duties.

b. There is objective evidence of observance to established procedure.

1D10. Are the organizations responsible for performing conformity inspection and airworthiness functions described and their levels of authority defined?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. The procedure manual includes as a minimum:

(1) A table of organization that describes the functional relationship of upper management to the various organizational components.

(2) The purpose and objectives of the conformity inspection and airworthiness organization.

(3) The identification of the functions of staff members within the facility.

(4) The role of staff members in the facility and their responsibilities as representatives of the Administrator, ensuring that no conflicting restraints are placed on the performance of their duties.

b. There is objective evidence of observance to established procedure.

1D11. Are approved procedures, regulations, and policies made available to responsible delegated facility staff members?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

- a. The procedures manual provides for distribution of regulations, policy, and procedures.
- b. The procedures manual provides that each appropriate employee has easy access to pertinent regulations, policy, and procedures.
- c. There is objective evidence of observance to established procedure.

1D12. Is there a staff of engineering, flight test, and inspection personnel, as appropriate, that can determine compliance to airworthiness requirements?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.439(a)(4)	§ 21.239(c)	§ 5(a)(3)
P			
N			

Statement of Condition

- a. There is objective evidence of a staff of engineering, flight test, and inspection personnel, as appropriate, to determine compliance with airworthiness requirements.

1D13. Does the evaluated facility maintain a current list of products or articles that have been repaired or modified under the delegated authorization?

1D13 (continued)Applicability:

	DAS	DOA	SFAR 36
R	§ 21.493		§ 13(b)
P		X	
N			

Statement of Condition

a. There is objective evidence that a list of products by make, model, manufacturer's serial number, and, if applicable, TSO or PMA identification, is being maintained.

1D14. Does the evaluated facility keep current a list of all the certificates for which it holds approval?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures provide:

(1) For DOA, assurance that the appropriate FAA office keeps current each Type Certificate (TC), Production Certificate (PC), and Production Limitation Record (PLR), as appropriate, of the evaluated facility.

(2) For DAS, assurance that Supplemental Type Certificates are kept current.

(3) Assurance that limits of authorization are current, i.e., letter of delegation for DOA, Air Agency Certificate for DAS.

b. There is objective evidence of observance to established procedures.

1D15. Is there a requirement for the evaluated facility's personnel to have knowledge, skills, and abilities appropriate to their assignments and responsibilities?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

- a. Procedures define the method for establishing and maintaining personnel qualifications appropriate to the delegated functions being performed.
- b. There is objective evidence of observance to established procedures.

1D16. Do the organizations and personnel identified in the evaluated facility periodically receive training and updates for the functions and procedures that they have been delegated?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

- a. There is objective evidence (on going training requirements) that staff members are knowledgeable of the approved functions and procedures, including periodic changes, that have been delegated to them and to the facility.

1D17. Have appropriate personnel attended periodic FAA Standardization Workshops?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

1D17. (continued)Statement of Condition

a. There is objective evidence that the individuals identified on the organization's delegated function list have attended applicable FAA Standardization Workshops.

1D18. Are tags, forms, and other certification documents described in the procedures manual and are the items properly controlled?
Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures include, as a minimum:

- (1) A sample of each tag, form, and other document with instructions for use as applicable.
- (2) A formal change control procedure.

b. There is objective evidence of observance to established procedures.

1D19. Does the evaluated facility retain records in accordance with the appropriate regulations?
Applicability:

	DAS	DOA	SFAR 36
R	§ 21.493	§ 21.293	§ 13
P			
N			

Statement of Condition

a. There is objective evidence that:

- (1) A record retention schedule that complies with applicable regulations has been established.

1D19. (continued)

(2) Technical data files, repair, rebuild, and alteration records, original application data, inspection records, and service difficulty records, as applicable, are maintained in accordance with record retention requirements.

1D20. In the case of aircraft, does the evaluated facility have a flight safety program?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for a flight safety program that includes, as a minimum:
 - (1) Monitoring of crew duty hours.
 - (2) Periodic review of accidents and incidents.
 - (3) Mandatory safety meetings.
- b. There is objective evidence of observance to established procedures.

SECTION 2. PROJECT MANAGEMENT

1. SYSTEM ELEMENT DESCRIPTION. Project management includes those functions related to the overall management and approval of a project within the delegated facility's approved procedures manual or handbook.

2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA. The following criteria are used to document the evaluation of this system element.

2D1. Has a certification basis or airworthiness requirement been established and used for the modified or repaired type certificated product?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures include, as a minimum:

- (1) Method used to determine certification basis (regulatory requirements).
- (2) Method for evaluating the regulatory requirement against the modification or repair.
- (3) Method of documenting certification basis (regulatory) applicability.

b. There is objective evidence of observance to established procedures.

2D2. When determining the certification basis, has the evaluated facility made a determination on the use of the latest airworthiness standards?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

2D2. (continued)

Statement of Condition

a. Procedures include, as a minimum:

(1) Method of documenting certification basis (regulatory) applicability, including the position relative to complying with the later standards.

(2) Method used in evaluating the basic regulatory requirements together with the applicable service experience.

b. There is objective evidence of observance to established procedures.

2D3. Does the evaluated facility make a determination as to whether a project is significant or non-significant prior to submitting the letter of intent to the FAA?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures include, as a minimum:

(1) Method used to determine and document the project criticality assessment.

(2) Method to incorporate the assessment findings into the letter of intent or other project notification form.

b. There is objective evidence of observance to established procedures.

2D4. Has a certification basis been established and coordinated with the FAA for new type certification projects?

Applicability:

2D4. (continued)

	DAS	DOA	SFAR 36
R			
P		X	
N	X		X

Statement of Condition

a. Procedures include, as a minimum:

- (1) Method used to determine certification basis (regulatory requirements).
- (2) Method for evaluating the regulatory requirement against the proposed type certificated product.
- (3) Method of documenting certification basis (regulatory) applicability.
- (4) Method to notify the FAA of the proposed certification basis.

b. There is objective evidence of observance to established procedures.

2D5. Are letters of intent or similar documents reviewed by the staff prior to submittal to the FAA?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a.** Procedures include a method to coordinate the letter of intent internally with engineering, flight test, and inspection staff members prior to submitting the letter to the FAA.
- b.** There is objective evidence of observance to established procedures.

2D6. Does the evaluated facility submit a Letter of Intent or similar document for project initiation to the respective ACO?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures include, as a minimum:

(1) Method to identify the information required in the Letter of Intent.

(2) A listing of staff member(s) authorized to approve and submit the Letter of Intent to the FAA within a prescribed time.

b. There is objective evidence of observance to established procedures.

2D7. Is the FAA response to the letter of intent obtained prior to the issuance of the certificate?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures include a method to disposition the FAA response or requirements to the Letter of Intent.

b. There is objective evidence of observance to established procedures.

2D8. Does the evaluated facility obtain FAA's concurrence for the application of all equivalent safety provisions applied for under § 21.21?

2D8 (continued)Applicability:

	DAS	DOA	SFAR 36
R	§ 21.461	§ 21.261	
P			
N			X

Statement of Condition

a. There is objective evidence that FAA concurrence has been obtained for the application of equivalent safety provisions.

2D9. Are AD's identified for the product being modified/repaired and evaluated for their effect on the change in the type design?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures include, as a minimum:

- (1) Identification of applicable AD's.
- (2) Evaluation of the effect the AD has on the modified/repaired product.

NOTE: If an AD is identified as applicable, and as a result of the proposed modification or repair the requirements of the AD can no longer be accomplished, the delegated facility MUST obtain an alternate means of compliance to the AD from the ACO which ISSUED the AD, PRIOR to the delegated facility's issuance of a design approval.

b. There is objective evidence of observance to established procedures.

2D10. Does the evaluated facility coordinate milestones and unique project requirements with the appropriate disciplines within the facility, and with the ACO and MIDO?

2D10. (continued)

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures provide for communicating milestones and unique project requirements with the appropriate DAS/DOA personnel and with the FAA.

b. There is objective evidence of observance to established procedures.

2D11. Are there means for the identification and resolution of significant technical, regulatory, and administrative issues that occur during the certification process within the facility, and with the ACO and MIDO?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures include, as a minimum, a method to:

- (1) Identify issue(s).
- (2) Identify staff member participation.
- (3) Request the FAA for an issue paper(s), if required.
- (4) Incorporate the findings of the issue paper into the type design.

b. There is objective evidence of observance to established procedures.

2D12. Do staff members communicate with each other for project coordination and, when applicable, with the FAA (ACO and/or MIDO)?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

- a. Procedures promote, as a minimum, communication between:
 - (1) Staff members and management.
 - (2) Staff members for project coordination.
 - (3) Delegated facility staff members and the FAA.
- b. There is objective evidence of observance to established procedures.

2D13. Is there coordination between staff members on projects that require approvals in more than one technical area?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

- a. Procedures include, as a minimum, a method to:
 - (1) Coordinate multi-discipline review and approval, e.g. airframe, systems, propulsion, flight test, and inspection.
 - (2) Authorize staff member(s) to review each data package for possible overlaps.
- b. There is objective evidence of observance to established procedures.

2D14. Are required certification tests identified, documented, and approved?

Applicability:

	DAS	DOA	SFAR 36
R			§ 6(b)(2)(ii)
P	X	X	
N			

Statement of Condition

a. There is objective evidence that staff members authorized to witness and approve test results have been identified{SFAR 36, § 6(b)(2)(ii)}. Procedures may provide for:

(1) Method to identify all tests to assure compliance with the applicable airworthiness requirements.

(2) Method to define and conduct tests, e.g., ground tests, TIA.

(3) Method to document and approve results, e.g., test report, TIR.

2D15. Does the evaluated facility process and approve an authorization, such as a TIA, which authorizes the official conformity, airworthiness inspections, and flight tests necessary to fulfill certain requirements for TC, STC, and amended TC/STC certification?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures include, as a minimum, a method to:

(1) Document the required official certification inspections and tests.

(2) Approve the required document, including, as applicable, the coordination with other staff members.

(3) Make and approve changes to this document.

2D15. (continued)

- (4) Control and file this document.
- (5) Include FAA participation, as required.
- b. There is objective evidence of observance to established procedures.

2D16. Are compliance inspections being conducted by authorized staff members?Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for:
 - (1) Method to identify compliance inspection requirements.
 - (2) Method to document and disposition the findings of the compliance inspection.
 - (3) Identification of staff members authorized to conduct compliance inspections.
- b. There is objective evidence of observance to established procedures.

2D17. Are conformity inspections accomplished and documented prior to conducting certification tests?Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

2D17. (continued)

Statement of Condition

- a. Procedures provide for a method to:
- (1) Assure that conformity inspections are accomplished prior to certification tests.
 - (2) Define and conduct conformity inspections, e.g., ground tests, TIA.
 - (3) Document and approve results.
- b. There is objective evidence of observance to established procedures.

2D18. Are nonconforming products/parts dispositioned by engineering prior to tests or final approval?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for engineering review and disposition of nonconforming products/parts.
- b. There is objective evidence of observance to established procedures.

2D19. Does the evaluated facility assure that FAA-requested participation and/or the determination of specific findings are completed?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

2D19. (continued)Statement of Condition

a. Procedures include, as a minimum, a method to assure that:

(1) FAA-requested participation and/or specific findings are included in the testing and inspection schedule.

(2) FAA-requested participation and/or specific findings are completed and documented.

b. There is objective evidence of observance to established procedures.

2D20. When applicable, is the AFM/AFMS (Aircraft Flight Manual or Aircraft Flight Manual Supplement) properly formatted, documented, coordinated, approved, and controlled?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures include, as a minimum, a method to:

(1) Determine whether an AFM or AFMS is necessary.

(2) Assure that the AFM or AFMS is properly formatted.

(3) Assure that the document has been coordinated with all engineering disciplines.

(4) Assure that the AFM or AFMS is approved and referenced properly on the approval certificate prior to the issuance of the type certificate or supplemental type certificate.

(5) Process revisions to the AFM or AFMS.

b. There is objective evidence of observance to the established procedures.

2D21. Does the evaluated facility process and approve a document, such as a TIR/STIR, which documents those official conformity, airworthiness inspections, and flight tests necessary to fulfill the requirements for TC, STC, and amended TC certification?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures include, as a minimum, a method to:

- (1) Document the results of the official certification inspections and tests.
- (2) Approve the required document, including, as applicable, coordination with other staff members.
- (3) Make and approve changes to this document.
- (4) Control and file this document.
- (5) Identify timely completion of the document.
- (6) Include FAA participation, as required.

b. There is objective evidence of observance to established procedures.

2D22. Are projects that require TC or STC amendment identified, documented, and approved?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

2D22. (continued)Statement of Condition

- a. Procedures include a method that identifies the procedure to be used when amending a TC or STC.
- b. There is objective evidence of observance to established procedures.

2D23. Does the DAS/DOA coordinator obtain concurrence from the applicable staff members that all items are completed prior to the issuance of the TC/STC?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures should include the process by which the evaluated facility will obtain concurrence from engineering, flight test, and inspection prior to the issuance of the TC/ STC to verify that all project items are completed; for example:

- (1) TC/STC product eligibility is correct.
- (2) Certification basis is documented.
- (3) Installation or Drawing list is the later approved revision.
- (4) All limitations and conditions are listed in the document.

- b. There is objective evidence of observance to established procedures.

2D24. Prior to issuing an STC, does the evaluated facility ensure that a type certificate has been issued for the aircraft being modified and/or repaired?

2D24. (continued)

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.117		
P			
N		X	X

Statement of Condition

a. There is objective evidence that a type certificate has been previously issued for the product being modified and/or repaired at the DAS.

2D25. Are STC certificates properly completed?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X		
N		X	X

Statement of Condition

a. Procedures include a method on how to properly complete the STC certificate (FAA Form 8110-2), to include the STC Continuation Sheet (FAA Form 8110-2-1), when required.

b. There is objective evidence of observance to established procedures.

2D26. Upon the completion of a project, does the evaluated facility document the project certification activities in a report such as a certification summary report?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

2D26. (continued)Statement of Condition

- a. Procedures include, as a minimum, a method to:
- (1) Identify the documentation to be used for summarizing project activities.
 - (2) Complete the required documentation and forms.
 - (3) Approve these documents, and identify those staff members authorized to do so.
 - (4) Make and approve changes to this document.
 - (5) Control and file these documents.
- b. There is objective evidence of observance to established procedures.

2D27. Does the coordinator assure that the type design data, technical data, and/or repair data are approved, documented, and controlled?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

- a. Procedures include, as a minimum:
- (1) Methods for documenting data approvals.
 - (2) A description of the data approval process, including personnel authorized to approve the data.
 - (3) A means of controlling the issuance and distribution of data approvals.
- b. There is objective evidence of observance to established procedures.

SECTION 3. DESIGN DATA APPROVAL

1. SYSTEM ELEMENT DESCRIPTION. The planning and integration of the evaluated facility's procedures for the approval of the design/repair data (including software) as delegated to the DOA, DAS, and SFAR 36 authorizations.

2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA. The following criteria are used to document evaluation of this system element.

3D1. Is the type design data, technical data, and/or repair data documented and controlled?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures include, as a minimum:

- (1) Methods for documenting and retaining data approvals.
- (2) A means of controlling the issuance and distribution of approval documents.
- (3) A means of documenting and controlling test plans, reports, and data.
- (4) A means of documenting and controlling required documents, e.g., instructions for continued airworthiness, flight manuals, installation/operation instructions.

b. There is objective evidence that the procedure is being used.

3D2. Are documents and forms, identified and listed in the procedures manual or handbook, used to document the approval of data and to make findings of compliance?

3D2. (continued)

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures provide for documenting approved data and findings of compliance on specified forms.

b. There is objective evidence of observance to established procedures.

3D3. During the approval process, is there a determination on and classification of the type of data being approved?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures include, as a minimum:

(1) Determination and classification of data by engineering disciplines, such as requiring FAA/designee approval.

(2) For SFAR 36, determination and classification of repair as major or minor.

b. There is objective evidence of observance to established procedures.

3D4. Is there a drawing control system?

3D4. (continued)Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition**a.** Procedures provide for:

- (1) Drawings that are adequate, complete, and legible.
- (2) Identification of drawings.
- (3) Indication of drawing approval, including FAA approval.
- (4) Maintenance and security of drawings.
- (5) Use of current drawings and removal of obsolete drawings.
- (6) A list of drawings and specifications necessary to define configuration of the FAA-approved design.
- (7) Control of preliminary/experimental drawings.
- (8) Existence of adequate backup methods for software used for drawing control.

b. There is objective evidence of observance to established procedures.**3D5. Is the type design data, technical data, and/or repair data approved?**Applicability:

	DAS	DOA	SFAR 36
R	§ 21.441		§ 6(b)(1)
P		X	
N			

3D5 (continued)

Statement of Condition

a. The procedures include, as a minimum:

- (1) Description of the data approval process, including personnel authorized to approve the data.
- (2) Methods to obtain complete design data and approval documents in accordance with certification plan.
- (3) Methods to approve master document (data) and/or certification compliance checklist.
- (4) Methods to approve test plans, data, and reports.
- (5) Methods to approve required documents, e.g., instructions for continued airworthiness, flight manuals, installation instructions.

b. There is objective evidence that the procedure is being used.

3D6. Is there a Software Configuration Management Plan (SCMP) or procedure to control airborne software configuration?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures provide for:

- (1) Installation of the correct version of the software in the certification test article or in the delivered product in accordance with the FAA-approved design in the certification program.
- (2) Method by which controlled software containing the FAA-approved design data is transitioned into production. The media containing the software installed in the product is directly traceable to the Software Configuration Management (SCM) library.

b. There is objective evidence of observance to established procedures.

3D7. Has a criticality assessment and the software verification been accomplished in accordance with RTCA/DO-178 or other accepted/approved documents (e.g., RTCA/DO-236, etc.)?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for a properly documented software criticality assessment and verification process.
- b. There is objective evidence of observance to established procedures.

3D8. Is there a Configuration Index Document (CID) listing all software documents under configuration control and defining the hardware and software part numbers?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for traceability of hardware and software part numbers to the drawing control system.
- b. There is objective evidence of observance to established procedures.

3D9. Are there practices and procedures for reporting, tracking, and resolving software problems?

3D9. (continued)

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures provide for:

(1) Methods for corrective action, for problems found, include provisions for airborne software and hardware/software combinations. Procedures may parallel or be part of hardware corrective action procedures.

(2) Method to dispose and delete obsolete or non-current software.

b. There is objective evidence of observance to established procedures.

3D10. Are there methods and facilities to protect computer programs from unauthorized access, inadvertent damage, or degradation?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures provide for:

(1) Configuration control of the airborne software within the product design files.

(2) Limited access to software files.

(3) Separate archives for masters and duplicates.

(4) That masters and duplicates are not revived by the same machine simultaneously.

3D10. (continued)

- b. There is objective evidence of observance to established procedures.

3D11. Are there procedures to ensure that the software development environment (i.e., compilers, loaders, linkers, editors, emulators, etc.) is identified, documented and archived for each version of the delivered airborne software version?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for methods to identify, document, and archive the software development environment for each version of delivered airborne software.

- b. There is objective evidence of observance to established procedures.

3D12. Is airborne software programmed media handled and stored properly (e.g., environmental controls and magnetic interference precautions)?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for special handling of programmed media.

- b. There is objective evidence of observance to established procedures.

SECTION 4. DESIGN CHANGE APPROVAL

1. SYSTEM ELEMENT DESCRIPTION. The planning and integration of the evaluated facility's procedures for the approval of changes to the DAS and DOA design data. This includes software used in type-certificated aircraft or related products (airborne software).

2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA. The following criteria are used to document evaluation of this system element.

4D1. Are the changes to the type design data, technical data, and/or repair data documented and controlled?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures include, as a minimum:

- (1) Methods for documenting and retaining data approvals.
- (2) A means of controlling the issuance and distribution of approval documents.
- (3) A means of documenting and controlling test plans, reports, and data.
- (4) A means of documenting and controlling required documents, e.g., instructions for continued airworthiness, flight manuals, installation/operation instructions.

b. There is objective evidence of observance to established procedures.

4D2. Does the evaluated facility determine if a design change or an SFAR 36 repair is major or minor?

4D2. (continued)

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.93(a)	§ 21.93	
P			X
N			

Statement of Condition

a. There is objective evidence that changes to the DAS or DOA design data, or a repair for SFAR 36, have been properly classified as major or minor.

4D3. Are minor design changes approved under a method acceptable to the FAA?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.95	§ 21.95	
P			
N			X

Statement of Condition

a. There is objective evidence that the FAA has approved a method to approve minor design changes and that the evaluated facility is using the approved method.

4D4. Are major changes to type design, technical data, and/or repair data approved?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.97	§ 21.97	
P			
N			X

Statement of Condition

a. There is objective evidence that major changes to the type design are approved.

4D5. Are documents and forms, identified and listed in the procedures manual or handbook, used to document the approval of design changes and findings of compliance?
--

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. The procedures include all relevant information required to complete the forms relative to the design changes to the DAS/DOA data.
- b. There is objective evidence of observance to established procedures.

4D6. Are corrective actions identified in Airworthiness Directives incorporated into the FAA-approved design, when applicable?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.99	§ 21.99	
P			
N			X

Statement of Condition

- a. There is objective evidence that design changes necessary to correct unsafe conditions identified in AD's have been incorporated into the FAA-approved design.

4D7. Does the evaluated facility specify the repairable damage limits when applicable?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

4D7 (continued)

Statement of Condition

- a. Procedures provide for repairable damage limits, e.g., crack lengths, dent depth, wear limits.
- b. There is objective evidence of observance to established procedures.

SECTION 5. TESTING

1. SYSTEM ELEMENT DESCRIPTION. The function which provides for the testing, including both component and final product tests, required to establish that the approved design or changes thereof are in compliance with the applicable CFR.

2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA. The following criteria are used to document evaluation of this systems element.

5D1. Are all certification tests identified, documented, and approved?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures provide for a method to:

(1) Identify all certification tests, and the disposition of the conformity inspections associated with the test plans.

(2) Define and approve tests, e.g., TIA, test plans, including pass/fail criteria.

b. There is objective evidence of observance to established procedures.

5D2. Are staff members responsible for the development of test plans, witnessing of tests, and the documentation of test results identified?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

5D2. (continued)

Statement of Condition

- a. Procedures provide for an organizational chart or table that identifies the staff, and their responsibility and authority for developing and approving test plans; witnessing tests; and documenting and approving test results.
- b. There is objective evidence of observance to established procedures.

5D3. Does equipment used for test have the degree of accuracy necessary to determine conformity of the characteristic being measured/tested?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

- a. Procedures provide for:
- (1) The degree of accuracy and current calibration of all measurement devices and test equipment.
- (2) Measurement devices and test equipment capable of the accuracy necessary and adequate for the intended purpose, including measurement devices and test equipment substituted for those specified.
- (3) A list of measurement devices and test equipment used to determine conformity of the characteristics being tested.
- b. There is objective evidence of observance to established procedures.

5D4. Is there appropriate safety equipment available during certification testing?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

5D4 (continued)Statement of Condition

- a. Procedures include the method for the training of personnel, and the control and availability of appropriate safety equipment.
- b. There is objective evidence of observance to established procedures.

5D5. Does the evaluated facility's authorized staff members assure that conformity inspections are completed prior to conducting certification tests?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

- a. Procedures provide for a method to:
- (1) Verify that certification conformity inspections have been accomplished; for example, parts, installation, and/or test setup.
- (2) Review conformity inspection records.
- (3) Disposition nonconformity inspection records.
- b. There is objective evidence of observance to established procedures.

5D6. Does the evaluated facility's staff members, including inspection personnel, participate in the review of test instructions or procedures?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

5D6. (continued)

Statement of Condition

a. Procedures provide for a method:

(1) For the delegated facility staff members, including inspection personnel, to review test instructions or procedures prior to release.

(2) To evaluate and verify conformity to approved design. This includes the identification of inspection points that ensure conformity to approved design.

(3) For inspection equipment to be available or procured that will adequately verify conformity to approved design, and that can be controlled for accuracy, when required.

b. There is objective evidence of observance to established procedures.

5D7. Are test results documented and approved?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures provide for documentation to include as a minimum:

(1) Test results.

(2) Approval of test results.

b. There is objective evidence of observance to established procedures.

5D8. Are certification test discrepancies documented and dispositioned?Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition**a.** Procedures provide for a method to:

(1) Document discrepancies.

(2) Disposition discrepancies, e.g., re-evaluate test procedures, rework and re-conform test setup, redesign.

b. There is objective evidence of observance to established procedures.**5D9. Does the evaluated facility allow for the use of personnel other than those identified in the procedures manual or handbook to assist in witnessing the required certification tests?**Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition**a.** Procedures include:

(1) The method of approving personnel to conduct and witness required certification tests.

(2) The requirements and controls, including training, for authorized persons to document and approve applicable data.

b. There is objective evidence of observance to established procedures.

SECTION 6. CONFORMITY INSPECTION

1. SYSTEM ELEMENT DESCRIPTION. The function which establishes control of the prototype/test article conformity to approved drawings.

2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA. The following criteria are used to document evaluation of this system element.

6D1. Are Statements of Conformity properly submitted?

Applicability:

	DAS	DOA	SFAR 36
R	§§ 21.53 & 21.463	§§ 21.53 & 21.253	
P			
N			X

Statement of Condition

a. There is objective evidence that:

(1) The method for verifying the statement of conformity, for the product manufactured, altered, or repaired, has been submitted to the appropriate delegated facility staff member.

(2) The statement of conformity has been signed by an authorized person who holds a responsible position in the manufacturing organization or repair station.

6D2. Are conformity inspections documented?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

6D2. (continued)

Statement of Condition

a. Procedures include, as a minimum, a method to:

- (1) Obtain the statement of conformity from the applicant.
- (2) Conduct conformity inspections (ref. FAA Order 8110.4, Chapter 5).
- (3) Complete the conformity inspection records (using FAA Form 8100-1 or equivalent).
- (4) Document the detail parts, assemblies, and installation conformities recorded on the conformity inspection record, including design data revision level and release date of design data.
- (5) Document and coordinate disposition of nonconformities or deviations with the engineering organization.
- (6) Verify and/or conform that special processes called out in design data have been accomplished in accordance with the process requirements.

b. There is objective evidence of observance to established procedures.

6D3. Does equipment used for inspection have the degree of accuracy necessary to determine conformity of the characteristic being inspected?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures provide for:

- (1) The degree of accuracy and a current calibration of all measurement devices and test equipment.
- (2) Measurement devices and test equipment capable of the accuracy necessary and adequate for the intended purpose, including measurement devices and test equipment substituted for those specified.

6D3. (continued)

(3) A list of measurement devices and test equipment used to determine conformity of characteristics being inspected.

b. There is objective evidence of observance to established procedures.

6D4. Are "at-risk" conformity inspection records generated and tracked for in-process conformity inspections and do these records reflect the final approved design? (Inspections conducted prior to issuing TIA or Conformity Request)

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures provide for a method to assure that in-process conformity records:

(1) Are generated and maintained.

(2) Reflect the final approved design.

b. There is objective evidence of observance to established procedures.

6D5. Do the evaluated facility inspection staff members conduct conformity inspections at the supplier/vendor when conformity cannot be determined upon receipt?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures provide for:

6D5. (continued)

- (1) Only authorized staff members to conduct conformity inspections.
- (2) Method to conduct conformity inspections at suppliers/vendors.
- b. There is objective evidence of observance to established procedures.

6D6. Are methods for identification, control, and disposition of nonconforming products/parts provided?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for:
 - (1) Methods used for identification, control, and disposition of nonconforming products/parts.
 - (2) Method to secure nonconforming material, with access limited to authorized personnel.
 - (3) Disposition of nonconforming items, including standard repairs and MRB actions, only through the delegated facility engineering review and approval process.
- b. There is objective evidence of observance to established procedures.

6D7. Is software identified/marked externally/internally in accordance with the engineering drawing requirements?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

6D7. (continued)Statement of Condition

- a. Work instructions detail the identification/marketing requirements.
- b. There is objective evidence of observance to established instructions.

6D8. Are special processes coordinated with engineering and inspection personnel?Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures provide for the engineering and inspection organizations to review design and technical data changes prior to release to ensure that:

- (1) The product can be properly evaluated and verified to be in conformity to approved design.
- (2) Inspection equipment is available or can be procured that will adequately verify conformity to approved design, and that can be controlled for accuracy, when required.

- b. There is objective evidence of observance to established procedures.

6D9. Does the evaluated facility inspection personnel verify that the approved data are adequate for a multiple approval and the installation is airworthy?Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for a method to:

6D9. (continued)

(1) Verify that the approved data are adequate for a multiple approval and to provide feedback to the Coordinator.

(2) Determine that the installation is airworthy and to provide feedback to the Coordinator.

b. There is objective evidence of observance to established procedures.

SECTION 7. AIRWORTHINESS CERTIFICATION

1. SYSTEM ELEMENT DESCRIPTION. The function which provides for the issuance of appropriate airworthiness certificates.

2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA. The following criteria are used to document evaluation of this system element.

7D1. Have applications for airworthiness certification been properly completed as identified in approved procedures, and submitted to the FAA, as applicable?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures define the responsibilities and method for airworthiness certificate application.
- b. There is objective evidence of observance to established procedures.

7D2. Have limitations and conditions been obtained from the cognizant MIDO prior to issuing experimental airworthiness certificates?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.475	§ 21.275	
P			
N			X

Statement of Condition

- a. There is objective evidence that the necessary limitations and conditions have been obtained from the cognizant MIDO prior to issuing experimental airworthiness certificates.

7D3. Have applicable airworthiness certificates been obtained for the purposes for which the aircraft is flown?

Applicability:

	DAS	DOA	SFAR 36
R	Part 21, Subparts H, I	Part 21, Subparts H, I	
P			
N			X

Statement of Condition

a. There is objective evidence that the proper airworthiness certificates have been obtained for the purposes for which the aircraft is flown.

7D4. Are Airworthiness Directives (AD) incorporated?

Applicability:

	DAS	DOA	SFAR 36
R	§ 39.3	§ 39.3	
P			
N			X

Statement of Condition

a. There is objective evidence that applicable AD's have been complied with prior to operating the product.

7D5. If an export airworthiness approval has been issued, have the necessary documents and instructions been forwarded to the aviation authority of the importing country, or to other locations as specified in the special requirements of importing countries in AC 21-2?

Applicability:

	DAS	DOA	SFAR 36
R		§ 21.335	
P			
N	X		X

7D5. (continued)Statement of Condition

a. There is objective evidence that all the documents and information necessary for proper operation of the product being exported have been forwarded to the cognizant aviation authority. For unassembled aircraft, this includes manufacturing assembly instructions and an FAA-approved flight test check off form.

7D6. Have export airworthiness approvals been obtained for all products exported?Applicability:

	DAS	DOA	SFAR 36
R			
P		X	
N	X		X

Statement of Condition

a. Procedures provide for:

(1) Methods for applying for export airworthiness approvals, and the responsibilities of personnel authorized to submit applications.

(2) A list of the products for which export airworthiness approvals are obtained.

(3) All exported products to meet special requirements of the importing country listed in Appendix 6 of AC 21-2 (current revision). Procedures provide for properly annotating any deviation on the exporting documentation, and including a letter of acceptance from the importing country for such deviations.

(4) Retention of copies of FAA Form 8130-4, Export Certificate of Airworthiness, and/or FAA Form 8130-3, Airworthiness Approval Tags, as applicable.

b. There is objective evidence of observance to established procedures.

7D7. Are flight manuals, supplements, and current weight and balance data furnished with each aircraft before issuance of standard or restricted airworthiness certificate?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for the furnishing of aircraft flight manuals, supplements, and current weight and balance data with each aircraft.
- b. There is objective evidence of observance to established procedures.

7D8. Have airworthiness approval tags (FAA Form 8130-3) been issued by authorized personnel?

Applicability:

	DAS	DOA	SFAR 36
R			
P		X	
N	X		X

Statement of Condition

- a. Procedures provide for identification of personnel authorized to issue airworthiness approval tags.
- b. There is objective evidence of observance to established procedures.

SECTION 8. FAA NOTIFICATION

1. SYSTEM ELEMENT DESCRIPTION. The function which notifies the FAA of specific conditions as required by the approved procedures and by the CFR. This includes procedures for positive feedback, recording, reporting, and investigation of significant or reported failures, malfunctions, or defects. This function would also provide for determining cause and effecting appropriate corrective actions on such failures, malfunctions, or defects.

2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA. The following criteria are used to document evaluation of this system element.

8D1. Does the evaluated facility submit required information to the FAA?

Applicability:

	DAS	DOA	SFAR 36
R	§§ 21.441(b) & 21.463	§§ 21.253 & 21.267	§ 6(c)
P			
N			

Statement of Condition

a. There is objective evidence that:

(1) For a DOA facility, an application for amendment to the production certificate has been submitted to the FAA for new models and type certificates. {§ 21.267}

(2) For a DOA facility, the following type certificate data has been submitted to the FAA for new products or amended type certificates: {§ 21.253}

(a) Type certificate application (FAA Form 312).

(b) Statement of applicable airworthiness requirements.

(c) Statement certifying compliance of type design to applicable requirements.

(d) Statement certifying that required technical data and type inspection report have been placed in the technical data file.

8D1. (continued)

(e) Proposed type certificate data sheet.

(f) Aircraft Flight Manual (if required), operating limitations summary, or other information necessary for safe operation of the product.

(3) For a DAS facility, a statement must be submitted to the FAA, prior to issuance of the STC, describing:

(a) The type design change.

(b) The airworthiness requirements of this chapter that the DAS considers applicable.

(c) The proposed program for meeting the applicable airworthiness requirements.

(4) For a DAS facility, the following STC data has been submitted to the FAA within 30 days of STC issuance: {§ 21.463(b)}

(a) Two copies of the STC.

(b) One copy of the design data approved by the DAS and referred to in the STC.

(c) One copy of each inspection and test report.

(d) Two copies of each revision to the Aircraft Flight Manual or operating limitations, and any other information necessary for safe operation of the product.

(5) For a DAS or SFAR 36 facility, changes to the procedures manual have been submitted to the FAA for approval. {DAS, § 21.441(b); SFAR 36, § 6(c)}

8D2. Does the evaluated facility notify the ACO within 48 hours of any change that could affect its ability to maintain its authorization eligibility?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.445	§ 21.245	§ 5(c)
P			
N			

8D2. (continued)Statement of Condition

a. There is objective evidence that the ACO was notified within 48 hours of any change (including a change of personnel) that could affect the ability of the evaluated facility to maintain its authorization eligibility.

8D3. Does the evaluated facility investigate unairworthy conditions or unsafe features or characteristics reported by the FAA?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.477	§ 21.277	§ 12
P			
N			

Statement of Condition

a. There is objective evidence that the evaluated facility has:

(1) Investigated reports of unairworthy conditions or unsafe features or characteristics reported by the FAA.

(2) Reported investigation results and the action, if any, taken or proposed to the FAA.

8D4. Does the evaluated facility notify the FAA when a Type Certificate, Supplemental Type Certificate, or Licensing Agreement is transferred?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.47	§ 21.47	
P			
N			X

Statement of Condition

a. There is objective evidence that notification has been provided.

SECTION 9. CONTINUED AIRWORTHINESS

1. SYSTEM ELEMENT DESCRIPTION. The function which assures the continued airworthiness of the product.

2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA. The following criteria are used to document evaluation of this system element.

9D1. Does the evaluated facility develop Instructions for Continued Airworthiness?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.50	§ 21.50	
P			X
N			

Statement of Condition

- a. There is objective evidence that Instructions for Continued Airworthiness have been developed.

9D2. Does the evaluated facility make available Instructions for Continued Airworthiness, including changes, to appropriate persons?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.50	§ 21.50	
P			X
N			

Statement of Condition

- a. There is objective evidence that Instructions for Continued Airworthiness, including changes, have been furnished or made available, as applicable, to the appropriate persons.

9D3. Are design changes considered in Instructions for Continued Airworthiness, when appropriate?

9D3. (continued)

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures provide for a method to:

(1) Consider the effect on the Instructions for Continued Airworthiness as a result of design changes.

(2) Revise Instructions for Continued Airworthiness, as required.

b. There is objective evidence of observance to established procedures.

9D4. Does the evaluated facility, in developing repair data, specify new inspection limits, when applicable?

Applicability:

	DAS	DOA	SFAR 36
R			
P			X
N	X	X	

Statement of Condition

a. Procedures include development of inspection limits when applicable.

b. There is objective evidence of observance to established procedures.

9D5. Are there provisions for receiving feedback on service problems from users/installers of the product/part thereof?

9D5. (continued)Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition**a.** Procedures provide for:

- (1) Identification of a specific function to receive reports of service difficulties.
- (2) Determination of appropriate manufacturing or design responsibilities for the reported problem.
- (3) A system of tracking for accountability.

b. There is objective evidence of observance to established procedures.
9D6. Are service problems investigated, and prompt corrective actions taken, by the evaluated facility?
Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition**a.** Procedures provide for:

- (1) A method of investigating, identifying, locating and reporting suspected unsafe products.
- (2) Prompt corrective action, which includes, as a minimum:
 - (a) Root cause determination and correction of deficient design or manufacturing.

9D6. (continued)

(b) A means of reporting, purging, tracking, and accountability of known unsafe products.

b. There is objective evidence of observance to established procedures.

9D7. Are failures, malfunctions, and defects reported to the FAA?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.3	§ 21.3	§ 21.3
P			
N			

Statement of Condition

a. There is objective evidence that failures, malfunctions, and defects identified as reportable conditions in § 21.3 are reported to the FAA.

b. When procedures for reporting failures, malfunctions, and defects to the FAA have been established, they should provide for, as a minimum:

(1) Definitions of reportable conditions.

(2) Evaluation of conditions to determine their reportability.

(3) Documentation and reporting method(s).

(4) Submittal of each report by the most expeditious method available within 24 hours of occurrence, with provisions for weekends and holidays.

9D8. When corrective action is required by AD's, is information on the design changes made available to all owners and operators of the product?

Applicability:

	DAS	DOA	SFAR 36
R	§ 21.99	§ 21.99	
P			
N			X

9D8. (continued)Statement of Condition

a. There is objective evidence that all applicable descriptive data and information covering approved design changes made as a result of AD incorporation or improvements which contribute to the safety of the product have been made available to product users.

9D9. Is a record or file of reported service difficulties generated and maintained?Applicability:

	DAS	DOA	SFAR 36
R	§ 21.493	§ 21.293	§ 13(c)
P			
N			

Statement of Condition

- a. There is objective evidence that a record, or file as applicable, has been generated and maintained.
- b. When procedures for preparing a record or file of service difficulties have been established, they should provide for, as a minimum:
- (1) Dates of receipt, what was reported, and action taken.
 - (2) Record legibility, completeness, and accuracy.
 - (3) Requirements that tape files, microfilm, etc., used for record retention exhibit legible data, acceptance stamps and/or signatures, as required.

9D10. Is there a means for keeping users of the product/part thereof informed of service information?Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

9D10. (continued)

Statement of Condition

- a. Procedures provide for informing product users of service-related information for suspected or known unsafe conditions, e.g., service bulletins.
- b. There is objective evidence of observance to established procedures.

9D11. Does the evaluated facility evaluate the effect on continued airworthiness or service issues for the product based on results from follow-on life cycle testing?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures provide for the evaluation of test results from follow-on life cycle testing for their effect on the continued airworthiness of the product.
- b. There is objective evidence of observance to established procedures.

9D12. Are service bulletins and maintenance manuals approved by authorized personnel?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

- a. Procedures define specific organizational and individual responsibilities for approving service bulletins and maintenance manuals.
- b. There is objective evidence of observance to established procedures.

9D13. Are service bulletins, maintenance manuals, and changes thereto, forwarded to the delegation oversight ACO?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures provide for the submittal of service bulletin and maintenance manual issuances, and changes thereto, to the managing ACO.

b. There is objective evidence of observance to established procedures.

9D14. Does the evaluated facility assure that only approved technical data, including changes, are used for repair, rebuilding, and alterations?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures provide, as a minimum:

(1) Method to approve the technical data.

(2) Indication of appropriate revision level of the technical data on inspection documents and work instructions.

b. There is objective evidence of observance to established procedures.

SECTION 10. AUDIT

1. SYSTEM ELEMENT DESCRIPTION. The function of a scheduled and systematic evaluation by the delegated facility to ascertain its own compliance to its FAA-approved Procedures Manual (DAS and SFAR 36) or Handbook (DOA), as well as applicable CFR.

NOTE: The establishment and operation of an internal audit program (sometimes referred to as a self-audit program) or external audit program (sometimes referred to as a surveillance audit program) is not a mandatory requirement placed upon DOA/DAS/SFAR 36 facilities, but is considered to be a "good" practice. If the evaluated facility HAS a documented and operational internal and/or external audit program, it should be reviewed during the ACSEP evaluation for adequacy and observance with the established procedures.

2. SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA. The following criteria are used to document evaluation of this system element.

10D1. Does the evaluated facility have an internal auditing program to verify compliance with its approved procedures, established policies, and approved data?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures provide for:

- (1) Auditor qualifications and training.
- (2) Formal audit checklists that systematically evaluate all major activities controlled by the delegated function.
- (3) Audit planning to include an audit schedule that is available and followed.
- (4) Special audits when major deficiencies within the evaluated facility's system are detected, or when there are significant organizational changes.

10D1. (continued)

(5) Conducting and reporting of the results of the internal audits.

(6) Methods for identifying nonconformances, and obtaining required corrective action to include the identification of personnel responsible for the corrective action.

(7) Follow-up for corrective action effectiveness.

b. There is objective evidence of observance to established procedures.

10D2. Does the evaluated facility partner with the organization that produces parts and assemblies, and perform installations, to share audit information?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	
N			X

Statement of Condition

a. Procedures provide for:

(1) Description of the interface/relationship between the delegated function and:

(a) For a DOA, the part 21, subpart G, certificated PAH and its approved quality system.

(b) For a DAS, the part 145 certificated repair station and its corresponding Inspection and Procedures Manual; *or*, the part 121 certificated operator and its corresponding General Maintenance Manual; *or*, the part 21 PAH and its corresponding approved quality system.

(2) Recommendation of special audits when major deficiencies in procurement, fabrication, and/or installation are detected during conformity inspections, or when there are significant changes to the repair station's, operator's, or PAH's organization.

(3) Methods for identifying nonconformances, and obtaining required corrective action to include the identification of personnel responsible for the corrective action.

(4) Follow-up for corrective action effectiveness.

b. There is objective evidence of observance to established procedures.

10D3. Does the evaluated facility periodically review implemented modifications or repairs for compliance to the developed data?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures provide for a periodic review of implemented modifications or repairs for compliance to the developed data.

b. There is objective evidence of observance to established procedures.

10D4. Is there feedback to higher-level management concerning the results of the internal audits?

Applicability:

	DAS	DOA	SFAR 36
R			
P	X	X	X
N			

Statement of Condition

a. Procedures provide for:

(1) Periodic management review of the audit program to include internal audit results, nonconformances, corrective actions, and corrective action effectiveness.

(2) Review of internal audit results by personnel having responsibility for the area that was audited.

(3) Revision to procedures manual or handbook to prevent reoccurrence of actual or potential nonconformances.

b. There is objective evidence of observance to established procedures.

